Managing Your TIF Grant

Cohort 3 Grantee Meeting

February 3 – 4, 2011

Project Management

Budget

Costs

Recordkeeping

Budget Issues

- Generally, you can transfer funds within your approved annual budget (e.g., personnel to supplies) without our approval **<u>unless</u>**…

The transfer changes the scope of your project or its objectives.

Example: A change affecting the incentive structure.

The transfer involves the purchase of equipment above a certain unit price.

Budget Issues(cont'd)

- Please consult with us and keep us informed about any possible line item transfers.

- Don't be afraid to ask your program officer if you're unsure about any budget issue, including whether a contemplated transfer may constitute a change of scope.

- Send us updated budgets if you transfer funds so that we can keep your file updated.

Cost Principles

- Any TIF-funded costs must be <u>allowable</u>, <u>reasonable</u> and <u>allocable</u>.

- What are "allowable" costs?
  - Ones that are "necessary" for the "proper and efficient" implementation and administration of the grant.
  - Entertainments costs are not allowable, and food costs may not be allowable, depending on the circumstances.

- What are "reasonable" costs?
  - Costs that are "ordinary and necessary"
  - Priced at a level that is equal to or less than what a "prudent person" would incur under the circumstances
  - Consistent with organization's established practices

Cost Principles (cont'd)

- What are "allocable" costs?
  - Ones directly related to a specific objective under the grant.
  - If a cost is for something that is also used for non-TIF purposes, the cost must be "allocated" to your TIF project in accordance with the relative benefits received by your project. The charge must be proportionate to the benefits to the TIF project.

    Example: if you purchase a printer for the project, but it will be used for TIF grant activities only 10 percent of the time, you may only charge the grant for 10 percent of the costs.
  - The basis for the allocation should be documented.

Recordkeeping

- Create and maintain a grant file. Be sure to include:
  - Your approved grant application.
  - Grant Award Notification (GAN).
  - Most recently-approved budget.
  - Any grant-related memoranda, letters or other official correspondence you receive from us or that you generate.
  - Performance reports you have submitted.
- Document how your funds are expended (keep your inventory records, meeting agendas, etc.).
  - Create and keep your "time and effort" personnel records.
- Evaluation grantees must keep separate records of costs paid under ARRA (as opposed to regular appropriations).

Recordkeeping: Salaries

- If you use grant funds for salaries, you must keep "time and effort" records.
  - This type of documentation depends on how many "cost objectives" the employee works on.
- If 100 percent of a salary is paid with grant funds:
  - Record a certification statement signed by the employee and his or her supervisor every 6 months.
  - "I hereby certify that, for the period January 1, 2011 through June 30, 2011, one hundred percent of my time and effort was spent on the Teacher Incentive Fund grant."
- Both types of documentation are for your records only. Do not send it to your ED program officer.

Recordkeeping: Salaries

- If only part of a salary is paid with TIF grant funds, you must collect and maintain a "Personnel Activity Report (PAR)."
  - This form documents time spent on grant activities **after work has been performed**. Estimates cannot be used.
  - Accounts for all hours, including hours spent on non-grant activities.
  - Signed by employee.
  - Prepared at least monthly and coincides with one or more pay periods.

Recordkeeping: How long?

- You must retain records for each budget period for 3 years after the date you submit your performance report for that period.
  - Example: If you submit your final performance report on November 16, 2015, you must retain records related to that final performance period until November 16, 2018.

- Except that..
  - If any litigation, claim, negotiation, audit or other action involving the records has been initiated, you must retain the records until the action has been completed and all issues have been resolved.

Be Familiar with the Official Resources on these Fiscal Issues

- Education Department General Administrative Regulations (EDGAR), 34 CFR Parts 74-99.

  Found at http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.pdf

- OMB circulars:
  - Circular A-87 (Cost principles for state, local, and Indian tribal governments)
  - Circular A-122 (Cost principles for non-profits)
  - Circular A-123 (Management's responsibilities for internal controls)

Your Annual Performance Report

Project Goals and Objectives

Annual Performance Reporting

- Each year, including this one, you'll submit an Annual Performance Report (APR).

- Timeline:
  - March – ED will conduct a webinar with more technical information about APR reporting.
  - May – You'll receive from ED specific information about the logistics of reporting.
  - July 1 – APRs are due.
  - September – You'll receive notification on ED's review of your APR.
  - November – APR updates submitted (as needed)

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Project Goals and Objective: We are not asking you to re-invent the wheel

- You probably included your project goals and objectives in your TIF grant application.

- You may need to fine-tune your objectives so they are measureable and time-specific.

- You will begin to collect data on each objective.

- You will report your progress in meeting these objectives each year in your APR.

Goals ➔ Objectives ➔ Action Steps

Goals are the broad outcomes the project will achieve.

When writing strong project goals:
- State each goal clearly and concisely.
- Consider how realistic a goal is in terms of measurability and achievability.

Goals➜Objectives➜Action Steps

Goals are broad statements about what the project will accomplish.

A goal may begin with a "to" statement. Consider a visionary verb such as increase, improve, establish, provide, produce, or decrease.

Goals➜**Objectives**➜Action Steps

- Objectives transform general goals into specific targets.

- Objectives are:

  specific, measurable, realistic, and time-limited.

- You may want 2-4 objectives for each project goal.

Developing Measurable Objectives

- **Identify** concrete, measurable target objectives, in terms of setting benchmarks that clearly identify numbers, percents and/or specific dates.

- **Include** a detailed plan on how these objectives will be achieved.

- **Set** interim milestones to monitor progress and identify areas that need additional attention.

- **Identify** issues that confound progress.

Measurable Objectives

Not measurable:

- "Good"
- "Substantial"

Measurable:

- The data system will be in place by September.
- We will achieve a three percent decline in teacher turnover by the end of the first year of full implementation (year 2 of grant period).
- Twenty percent of teachers will have students who performed one standard deviation above expected growth and will be deemed "Highly Effective by September 1."

Goals➜Objectives➜Action Steps

Action steps are tasks that support the attainment of the objective

Action steps should be:
- Incremental and realistic
- Achievable in the short term

Examples of Goals, Objectives and Action Steps

Sample Goal

To improve instructional practices of teachers to provide high-quality instruction to improve student achievement.

Sample Objective

In year one, thirty teachers with development needs in the area of classroom management will learn to use classroom management strategies to improve student achievement. All participating teachers (100%) will demonstrate mastery at 90% on all competencies as measured by the peer observation checklist.

1.a Performance Measure	Measure Type	Quantitative Data					
In year one, thirty teachers with development needs in the area of classroom management will learn to use classroom management strategies to improve student achievement. All participating teachers (100%) will demonstrate mastery at 90% on all competencies as measured by the peer observation checklist.	Program	**Target**			**Actual**		
		Raw Number	Ratio	%	Raw Number	Ratio	%
			30/30	100%			

Sample Action Steps

- Identify thirty teachers.

- Develop peer observation checklist.

- Provide training to teachers on classroom management and the use of the observation checklist.

Next steps for all projects

- Review your project objectives and work with your program officer to make sure they are clear, measurable, and time-specific.

- Once you and your program officer are satisfied that your objectives are appropriately stated, you will enter them into the system ED has created for APR reporting.

- ED staff will host a webinar in the next few months to go over the process for APR reporting.

Your Annual Performance Report

TIF GPRA MEASURES

Government Performance and Results Act (GPRA)

•Requires that a federally-funded project collect and report information reflecting the progress they are making toward their project goals.

•Each program has 1 – 3 standardized GPRA measures on which grantees must report each year.

Purpose: To ensure that taxpayer dollars support effective projects and that the overall program is effective.

What Are TIF's GPRA Measures?

Measure #1

The percentage of teachers and principals in high need schools who have a record of effectiveness.

Measure #2

The percentage of a district's personnel budget that is used for performance-related payments to effective teachers and principals (as measured by student achievement gains)

Measure 1: How Should Grantees Identify Teachers with a "Record of Effectiveness?

- By the end of any planning period, each grantee should have in place an evaluation system for measuring teacher "effectiveness."

- Grantees should identify teachers with a "record of effectiveness" using this evaluation system, which should measure "effectiveness" based on the following:
  - Student growth (in significant part)
  - Classroom observations
  - Other factors (determined by grantee)

1.b Performance Measure	Measure Type	Quantitative Data					
The # of teachers who were effective, based on those teachers who scored 4 or above on the teacher evaluation rubric.	GPRA	**Target**			**Actual**		
		Raw Number	Ratio	%	Raw Number	Ratio	%
			750/921	81%		742/921	81%

GPRA Reporting Logistics

- In the next two months, ED will provide a technical assistance webinar on these GPRA measures and the data they require you to collect and report.

- Many of you will report no GPRA data this year.

Your Annual Performance Report

Moving from a Planning Period to Full Implementation

All Five Core Elements Must Be in Place to End the Planning Period

- Most Cohort 3 grantees requested a planning period.

- All Grantees with a planning period received the following grant condition:

- "<u>Until the Department determines that the grantee has in place all five core elements needed to implement the PBCS</u>, the grantee may not use TIF program funds to provide incentive payments to teachers, principals, and other personnel …"

What Are the Five Core Elements?

They were set forth in the competition documents last year:

z   A communication plan

z   Involvement and support of teachers and unions

z   An evaluation system with key features

z   A data management system linking student achievement data and HR

z   Professional development aligned with evaluation measures so educators can improve their practice

How Will ED Determine That You Have Put in Place All 5 Core Elements?

- **Grantees will report in their APRs the steps they have taken to put all core elements in place.**

- **Grantees should attach evidence to support the statements made in the APR form.**

Guidance on What We'll Be Looking For

- The Core Elements are largely <u>self-explanatory</u>.
- Several Core Elements are <u>multi-faceted</u> and require that the grantee satisfy several requirements.

For example, Core Element 3 requires that the grantee have in place an evaluation system that evaluates teachers based on:

- student growth (in significant part)
- classroom observations with specific features
- other measures (prescribed by grantee)

Questions?